

## PATENT COOPERATION TREATY

PCT

## NOTIFICATION OF ELECTION

(PCT Rule 61.2)

From the INTERNATIONAL BUREAU

To:

Commissioner  
US Department of Commerce  
United States Patent and Trademark  
Office, PCT  
2011 South Clark Place Room  
CP2/5C24  
Arlington, VA 22202  
ETATS-UNIS D'AMERIQUE  
in its capacity as elected Office

|  |   |
|--|---|
| Date of mailing (day/month/year)<br>03 November 2000 (03.11.00)        |   |
| International application No.<br>PCT/SG99/00016                        | Applicant's or agent's file reference<br>GM/AY/R33-64 |
| International filing date (day/month/year)<br>10 March 1999 (10.03.99) | Priority date (day/month/year)                        |
| Applicant<br>JIAO, Gai-Li et al  |   |

1. The designated Office is hereby notified of its election made:

☒ in the demand filed with the International Preliminary Examining Authority on:  
06 October 2000 (06.10.00)

☐ in a notice effecting later election filed with the International Bureau on:  
\_\_\_\_\_

2. The election ☒ was  
☐ was not

made before the expiration of 19 months from the priority date or, where Rule 32 applies, within the time limit under Rule 32.2(b).

|   |  |
|---|--|
| The International Bureau of WIPO<br>34, chemin des Colombettes<br>1211 Geneva 20, Switzerland<br>Facsimile No.: (41-22) 740.14.35 | Authorized officer<br>Zakaria EL KHODARY<br>Telephone No.: (41-22) 338.83.38 |
|---|--|

## PATENT COOPERATION TREATY

PCT

## NOTIFICATION OF ELECTION

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Commissioner  
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☒ in the demand filed with the International Preliminary Examining Authority on:  
06 October 2000 (06.10.00)

☐ in a notice effecting later election filed with the International Bureau on:

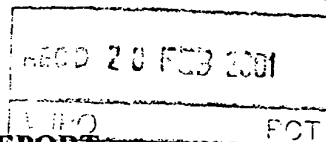
2. The election ☒ was

☐ was not

made before the expiration of 19 months from the priority date or, where Rule 32 applies, within the time limit under Rule 32.2(b).

|   |  |
|---|--|
| The International Bureau of WIPO<br>34, chemin des Colombettes<br>1211 Geneva 20, Switzerland<br>Facsimile No.: (41-22) 740.14.35 | Authorized officer<br>Zakaria EL KHODARY<br>Telephone No.: (41-22) 338.83.38 |
|---|--|

**PATENT COOPERATION TREATY**  
**PCT**  
**INTERNATIONAL PRELIMINARY EXAMINATION REPORT**



(PCT Article 36 and Rule 70)

|  |   |
|--|---|
| Applicant's or agent's file reference<br><b>GM/MC/R33-64</b>   | <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <b>FOR FURTHER ACTION</b> </div> <div style="width: 55%;"> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416). </div> </div>  |
| International Application No.<br><b>PCT/SG99/00016</b>   | <div style="display: flex; justify-content: space-between;"> <div style="width: 60%;"> International Filing Date (<i>day/month/year</i>)<br/> <b>10 March 1999</b> </div> <div style="width: 40%;"> Priority Date (<i>day/month/year</i>)<br/> <div style="border: 1px solid black; padding: 2px;"><b>10 March 1999</b></div> </div> </div> |
| International Patent Classification (IPC) or national classification and IPC<br><b>Int. Cl. <sup>7</sup> A01H 4/00, C12N 15/82</b> |   |
| Applicant<br><b>INSTITUTE OF MOLECULAR AGROBIOLOGY et al</b>   |   |

|  |  |   |                                     |                     |    |                          |          |     |                          |  |    |                          |                            |   |                                     |   |    |                          |                         |     |                          |  |      |                          |   |
|--|--|---|-------------------------------------|---------------------|----|--------------------------|----------|-----|--------------------------|--|----|--------------------------|----------------------------|---|-------------------------------------|---|----|--------------------------|-------------------------|-----|--------------------------|--|------|--------------------------|---|
| 1.   | This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.   |   |                                     |                     |    |                          |          |     |                          |  |    |                          |                            |   |                                     |   |    |                          |                         |     |                          |  |      |                          |   |
| 2.   | This REPORT consists of a total of <b>3</b> sheets, including this cover sheet.<br><br><input type="checkbox"/> This report is also accompanied by ANNEXES, i.e., sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).<br><br>These annexes consist of a total of     sheet(s). |   |                                     |                     |    |                          |          |     |                          |  |    |                          |                            |   |                                     |   |    |                          |                         |     |                          |  |      |                          |   |
| 3. This report contains indications relating to the following items: <table style="width: 100%; margin-top: 10px;"> <tr> <td style="width: 5%;">I</td> <td style="width: 5%;"><input checked="" type="checkbox"/></td> <td>Basis of the report</td> </tr> <tr> <td>II</td> <td><input type="checkbox"/></td> <td>Priority</td> </tr> <tr> <td>III</td> <td><input type="checkbox"/></td> <td>Non-establishment of opinion with regard to novelty, inventive step and industrial applicability</td> </tr> <tr> <td>IV</td> <td><input type="checkbox"/></td> <td>Lack of unity of invention</td> </tr> <tr> <td>V</td> <td><input checked="" type="checkbox"/></td> <td>Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement</td> </tr> <tr> <td>VI</td> <td><input type="checkbox"/></td> <td>Certain documents cited</td> </tr> <tr> <td>VII</td> <td><input type="checkbox"/></td> <td>Certain defects in the international application</td> </tr> <tr> <td>VIII</td> <td><input type="checkbox"/></td> <td>Certain observations on the international application</td> </tr> </table> |  | I   | <input checked="" type="checkbox"/> | Basis of the report | II | <input type="checkbox"/> | Priority | III | <input type="checkbox"/> | Non-establishment of opinion with regard to novelty, inventive step and industrial applicability | IV | <input type="checkbox"/> | Lack of unity of invention | V | <input checked="" type="checkbox"/> | Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement | VI | <input type="checkbox"/> | Certain documents cited | VII | <input type="checkbox"/> | Certain defects in the international application | VIII | <input type="checkbox"/> | Certain observations on the international application |
| I  | <input checked="" type="checkbox"/>  | Basis of the report   |                                     |                     |    |                          |          |     |                          |  |    |                          |                            |   |                                     |   |    |                          |                         |     |                          |  |      |                          |   |
| II   | <input type="checkbox"/>   | Priority  |                                     |                     |    |                          |          |     |                          |  |    |                          |                            |   |                                     |   |    |                          |                         |     |                          |  |      |                          |   |
| III  | <input type="checkbox"/>   | Non-establishment of opinion with regard to novelty, inventive step and industrial applicability  |                                     |                     |    |                          |          |     |                          |  |    |                          |                            |   |                                     |   |    |                          |                         |     |                          |  |      |                          |   |
| IV   | <input type="checkbox"/>   | Lack of unity of invention  |                                     |                     |    |                          |          |     |                          |  |    |                          |                            |   |                                     |   |    |                          |                         |     |                          |  |      |                          |   |
| V  | <input checked="" type="checkbox"/>  | Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement |                                     |                     |    |                          |          |     |                          |  |    |                          |                            |   |                                     |   |    |                          |                         |     |                          |  |      |                          |   |
| VI   | <input type="checkbox"/>   | Certain documents cited   |                                     |                     |    |                          |          |     |                          |  |    |                          |                            |   |                                     |   |    |                          |                         |     |                          |  |      |                          |   |
| VII  | <input type="checkbox"/>   | Certain defects in the international application  |                                     |                     |    |                          |          |     |                          |  |    |                          |                            |   |                                     |   |    |                          |                         |     |                          |  |      |                          |   |
| VIII   | <input type="checkbox"/>   | Certain observations on the international application   |                                     |                     |    |                          |          |     |                          |  |    |                          |                            |   |                                     |   |    |                          |                         |     |                          |  |      |                          |   |

|  |  |
|--|--|
| Date of submission of the demand<br><b>9 October 2000</b>  | Date of completion of the report<br><b>2 February 2001</b>                         |
| Name and mailing address of the IPEA/AU<br><b>AUSTRALIAN PATENT OFFICE<br/> PO BOX 200, WODEN ACT 2606, AUSTRALIA<br/> E-mail address: pct@ipaaustralia.gov.au<br/> Facsimile No. (02) 6285 3929</b> | Authorized Officer<br><br><b>PHILIPPA WYRDEMAN</b><br>Telephone No. (02) 6283 2554 |

**I. Basis of the report**1. With regard to the **elements** of the international application:\*

- ☒ the international application as originally filed.
- ☐ the description,      pages , as originally filed,  
    pages , filed with the demand,  
    pages , received on    with the letter of
- ☐ the claims,      pages , as originally filed,  
    pages , as amended (together with any statement) under Article 19,  
    pages , filed with the demand,  
    pages , received on    with the letter of
- ☐ the drawings,      pages , as originally filed,  
    pages , filed with the demand,  
    pages , received on    with the letter of
- ☐ the sequence listing part of the description:  
    pages , as originally filed  
    pages , filed with the demand  
    pages , received on    with the letter of

2. With regard to the **language**, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language which is:

- ☐ the language of a translation furnished for the purposes of international search (under Rule 23.1(b)).
- ☐ the language of publication of the international application (under Rule 48.3(b)).
- ☐ the language of the translation furnished for the purposes of international preliminary examination (under Rules 55.2 and/or 55.3).

3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, was on the basis of the sequence listing:

- ☐ contained in the international application in written form.
- ☐ filed together with the international application in computer readable form.
- ☐ furnished subsequently to this Authority in written form.
- ☐ furnished subsequently to this Authority in computer readable form.
- ☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
- ☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished

4. ☐ The amendments have resulted in the cancellation of:

- ☐ the description,      pages
- ☐ the claims,      Nos.
- ☐ the drawings,      sheets/fig.

5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).\*\*

\* Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17).

\*\* Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report

**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement****1. Statement**

|                               |             |     |
|-------------------------------|-------------|-----|
| Novelty (N)                   | Claims 2-30 | YES |
|                               | Claims 1    | NO  |
| Inventive step (IS)           | Claims None | YES |
|                               | Claims 1-30 | NO  |
| Industrial applicability (IA) | Claims 1-30 | YES |
|                               | Claims None | NO  |

**2. Citations and explanations (Rule 70.7)**

The following documents are referred to:

D1. WO 97/12512 (CALGENE) 10 April

Novelty (N):

Claim 1 lacks novelty in light of D1. D1 discusses obtaining explants from various plant tissues including root and further teaches the use of agrobacterium to create transgenic cotton plants using these.

Inventive Step (IS):

Claims 2-30 lack inventive step in light of D1 because the differences between the methods outlined in D1 and the current claims do not constitute inventive subject matter but only standard alternatives available to the skilled worker.

Industrial Applicability (IA):

The claimed subject matter is considered industrially applicable.

## PCT

## INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

|   |   |   |
|---|---|---|
| Applicant's or agent's file reference<br><b>GM/AY/R33-64</b>  | <b>FOR FURTHER ACTION</b> see Notification of Transmittal of International Search Report (Form PCT/ISA/220) as well as, where applicable, item 5 below. |   |
| International application No.<br><b>PCT/SG 99/00016</b>       | International filing date (day/month/year)<br><b>10/03/1999</b>   | (Earliest) Priority Date (day/month/year) |
| Applicant<br><b>INSTITUTE OF MOLECULAR AGROBIOLOGY et al.</b> |   |   |

This International Search Report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This International Search Report consists of a total of 5 sheets.

☒ It is also accompanied by a copy of each prior art document cited in this report.

## 1. Basis of the report

- a. With regard to the language, the international search was carried out on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.

☐ the international search was carried out on the basis of a translation of the international application furnished to this Authority (Rule 23.1(b)).

- b. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international search was carried out on the basis of the sequence listing:

☐ contained in the international application in written form.

☐ filed together with the international application in computer readable form.

☐ furnished subsequently to this Authority in written form.

☐ furnished subsequently to this Authority in computer readable form.

☐ the statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.

☐ the statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

2. ☐ Certain claims were found unsearchable (See Box I).

3. ☐ Unity of invention is lacking (see Box II).

## 4. With regard to the title,

☒ the text is approved as submitted by the applicant.

☐ the text has been established by this Authority to read as follows:

## 5. With regard to the abstract,

☒ the text is approved as submitted by the applicant.

☐ the text has been established, according to Rule 38.2(b), by this Authority as it appears in Box III. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.

## 6. The figure of the drawings to be published with the abstract is Figure No.

☐ as suggested by the applicant.

☐ because the applicant failed to suggest a figure.

☐ because this figure better characterizes the invention.

☐ None of the figures.

A. CLASSIFICATION OF SUBJECT MATTER  
IPC 7 C12N15/82 A01H4/00

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)  
IPC 7 C12N A01H

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

| Category * | Citation of document, with indication, where appropriate, of the relevant passages   | Relevant to claim No. |
|------------|--|-----------------------|
| Y          | DATABASE AGRICOLA 'Online!<br>AN 92:20667 DN IND92003356,<br>KUO, C.C., ET AL.: "Plant regeneration<br>from root-derived callus of Gossypium<br>hirsutum L"<br>XP002126090<br>abstract<br>& PROCEEDINGS - BELTWISE COTTON<br>CONFERENCES, 1989. (BOOK 2) P.<br>638-640. PUBLISHER: MEMPHIS, TENN. :<br>NATIONAL COTTON COUNCIL OF AMERICA.,<br>— | 1-7,<br>14-30         |
| Y          | WO 97 12512 A (CALGENE INC)<br>10 April 1997 (1997-04-10)<br>page 11, line 7 - line 24<br>page 14, line 12 -page 15, line 2<br>—<br>—/—  | 1-7,<br>14-30         |

☒ Further documents are listed in the continuation of box C.

☒ Patent family members are listed in annex.

## \* Special categories of cited documents :

- "A" document defining the general state of the art which is not considered to be of particular relevance  
 "E" earlier document but published on or after the international filing date  
 "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)  
 "O" document referring to an oral disclosure, use, exhibition or other means  
 "P" document published prior to the international filing date but later than the priority date claimed

- "T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention  
 "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone  
 "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.  
 "&" document member of the same patent family

Date of the actual completion of the international search

17 December 1999

Date of mailing of the international search report

11/01/2000

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2  
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Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,  
Fax: (+31-70) 340-3016

Authorized officer

Maddox, A

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

| Category * | Citation of document, with indication, where appropriate, of the relevant passages  | Relevant to claim No. |
|------------|---|-----------------------|
| Y          | DATABASE CAB 'Online!<br>CAB INTERNATIONAL, WALLINGFORD, OXON, GB<br>AN 96:45438,<br>CHEN, S., ET AL.: "Studies on the<br>physiological effect of ABT No.4 on<br>cotton"<br>XP002126091<br>abstract<br>& ACTA AGRICULTURAE SHANGHAI,<br>vol. 10, no. 1, 1994, pages 73-77,                            | 2-7                   |
| A          | WO 98 15622 A (DEVER JANE GAY KVETON<br>;TROLINDER NORMA L (US); KOONCE LINDA KAY<br>TR) 16 April 1998 (1998-04-16)<br>page 6, line 9 - line 39<br>page 12, line 27 - line 38; examples 2,3<br>page 10, line 21 - line 30   | 1-30                  |
| A          | DATABASE BIOSIS 'Online!<br>BIOSCIENCES INFORMATION SERVICE,<br>PHILADELPHIA, PA, US<br>AN 1991:426929,<br>LU, Z-X, ET AL.: "Study on tissue and<br>protoplast culture of wild cotton<br>Gossypium-davidsonii"<br>XP002126111<br>abstract<br>& ACTA BOT SIN,<br>vol. 33, no. 2, 1991, pages 98-103,   | 1-30                  |
| A          | FIROOZABADY ET AL: "Transformation<br>of cotton (Gossypium hirsutum L.) by<br>Agrobacterium tumefaciens and<br>regeneration of transgenic plants"<br>PLANT MOLECULAR BIOLOGY,NL,NIJHOFF<br>PUBLISHERS, DORDRECHT,<br>vol. 10, 1997, page 105-116 XP002094283<br>ISSN: 0167-4412<br>page 107 -page 108 | 14-19                 |
| A          | TROLINDER N L ET AL: "SOMATIC<br>EMBRYOGENESIS AND PLANT REGENERATION IN<br>COTTON (GOSSYPIMUM HIRSUTUM L.)"<br>PLANT CELL REPORTS,DE,SPRINGER VERLAG,<br>vol. 6, no. 3, 1987, page 231-234<br>XP000618864<br>ISSN: 0721-7714<br>the whole document   | 20-25                 |
| A          | EP 0 270 355 A (AGRACETUS)<br>8 June 1988 (1988-06-08)<br>the whole document  | 20-25                 |
|            | —<br>-/-  |                       |



| C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT |  |                       |
|--|--|-----------------------|
| Category *   | Citation of document, with indication, where appropriate, of the relevant passages   | Relevant to claim No. |
| A  | DATABASE CAB 'Online!<br>CAB INTERNATIONAL, WALLINGFORD, OXON, GB<br>AN 1998:72033,<br>HUI, L., ET AL.: "Studies on the<br>application of multi-effect-triazole in<br>anther culture in wheat"<br>XP002126092<br>abstract<br>& ACTA AGRONOMICA SINICA,<br>vol. 23, no. 2, 1997, pages 220-225,   | 2-13                  |
| A  | DATABASE CHEMABS 'Online!<br>CHEMICAL ABSTRACTS SERVICE, COLUMBUS,<br>OHIO, US<br>AN 117:128291,<br>SHANKLA, A., ET AL.: "Influence of growth<br>regulators on somatic embryogenesis,<br>plantlet regeneration, and post-transplant<br>survival of Echinochloa frumentacea"<br>XP002126129<br>abstract<br>& PLANT CELL REP. (1992), 11(7), 368-71, | 8-13                  |
| A  | DATABASE BIOSIS 'Online!<br>BIOSCIENCES INFORMATION SERVICE,<br>PHILADELPHIA, PA, USq<br>AN 1991:22373,<br>ZHAO, C-Z., ET AL.: "Effect of MET on<br>immature embryo callus induction<br>differentiation and hardening of plants"<br>XP002126130<br>abstract<br>& ACTA BOT SIN,<br>vol. 32, no. 5, 1990, pages 407-409,                             | 8-13                  |
| A  | DATABASE CAB 'Online!<br>CAB INTERNATIONAL, WALLINGFORD, OXON, GB<br>AN 95:112675,<br>PAN, X.Y., ET AL.: "A study on the effect<br>of MET on regulating the growth of<br>plantlet from rice pollen"<br>XP002126093<br>abstract<br>& ACTA AGRICULTURAE UNIVERSITATIS<br>JIANGXIENSIS,<br>vol. 15, no. 3, 1993, pages 225-229,                       | 2-13                  |
| A  | EP 0 317 511 A (CIBA GEIGY AG)<br>24 May 1989 (1989-05-24)<br>page 31 -page 37   | 14-30                 |
| A  | WO 89 05344 A (PHYTOGEN)<br>15 June 1989 (1989-06-15)<br>the whole document  | 14-30                 |
| -/-  |  |                       |

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

| Category * | Citation of document, with indication, where appropriate, of the relevant passages   | Relevant to claim No. |
|------------|--|-----------------------|
| A          | US 4 672 035 A (DAVIDONIS GAYLE H ET AL)<br>9 June 1987 (1987-06-09)<br>cited in the application<br>the whole document   | 28-30                 |
| A          | VALVEKENS D ET AL: "AGROBACTERIUM<br>TUMEFACIENS-MEDIATED TRANSFORMATION OF<br>ARABIDOPSIS THALIANA ROOT EXPLANTS BY<br>USING KANAMYCIN SELECTION"<br>PROCEEDINGS OF THE NATIONAL ACADEMY OF<br>SCIENCES OF USA,US,NATIONAL ACADEMY OF<br>SCIENCE. WASHINGTON,<br>vol. 85, August 1988 (1988-08), page<br>5536-5540 XP002910776<br>ISSN: 0027-8424<br>the whole document | 1                     |

## INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/SG 99/00016

| Patent document<br>cited in search report |   | Publication<br>date | Patent family<br>member(s)  | Publication<br>date  |
|---|---|---------------------|---|--|
| WO 9712512                                | A | 10-04-1997          | US 5846797 A<br>AU 7257996 A<br>CN 1198655 A<br>EP 0910239 A  | 08-12-1998<br>28-04-1997<br>11-11-1998<br>28-04-1999   |
| WO 9815622                                | A | 16-04-1998          | AU 4981297 A  | 05-05-1998   |
| EP 0270355                                | A | 08-06-1988          | US 5004863 A<br>AT 102999 T<br>DE 3789359 D<br>DE 3789359 T<br>ES 2052582 T<br>IN 168950 A<br>US 5608142 A<br>US 5159135 A  | 02-04-1991<br>15-04-1994<br>21-04-1994<br>06-10-1994<br>16-07-1994<br>20-07-1991<br>04-03-1997<br>27-10-1992   |
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